

Form 210A (10/06)

# United States Bankruptcy Court

Southern District Of New York



In re Lehman Brothers Holdings Inc., et al., Debtors,

Case No. 08-13555 (JMP)

## TRANSFER OF CLAIM OTHER THAN FOR SECURITY

A CLAIM HAS BEEN FILED IN THIS CASE or deemed filed under 11 U.S.C. § 1111(a). Transferee hereby gives evidence, attached hereto, and notice pursuant to Rule 3001(e)(2), Fed. R. Bankr. P., of the transfer, other than for security, of the claim referenced in this evidence and notice.

Bank Vontobel AG, Zurich / Switzerland

Name of Transferee

Name and Address where notices  
to transferee should be sent:

Bank Vontobel AG  
Gotthardstrasse 43  
Postfach  
CH-8022 Zurich / Switzerland

Phone: \_\_\_\_\_

Last Four Digits of Acct #: \_\_\_\_\_

Name and Address where transferee  
payments should be sent (if different  
from above):

Phone: \_\_\_\_\_

Last Four Digits of Acct #: \_\_\_\_\_

Neue Aargauer Bank AG / Switzerland

Name of Transferor

Court Claim # (if known): 55814-27

Date Claim Filed: not known

Amount of Claim: to be determined

Portion of Claim Transferred (see  
Schedule I): -90-

Phone: \_\_\_\_\_

Last Four Digits of Acct. #: \_\_\_\_\_

I declare under penalty of perjury that the information provided in this notice is true and correct to the best of my knowledge and belief.

By: \_\_\_\_\_  
Transferee/Transferee's Agent

Date: 10/07/2013

*Penalty for making a false statement: Fine of up to \$500,000 or imprisonment for up to 5 years, or both. 18 U.S.C. §§ 152 & 3571.*

Bank Vontobel AG  
Gotthardstrasse 43  
CH-8022 Zürich

A handwritten signature in blue ink, appearing to be "P. Vontobel", written over the printed name and address of Bank Vontobel AG.



**EVIDENCE OF TRANSFER OF CLAIM**

**TO: THE DEBTOR AND THE BANKRUPTCY COURT**

For value received, the adequacy and sufficiency of which are hereby acknowledged, **Neue Aargauer Bank AG** ("Transferor") unconditionally and irrevocably transferred to **Bank Vontobel AG** ("Transferee") all of its right, title, interest, claims and causes of action in and to or arising under or in connection with the portion of its claim (**Claim No. 55814-27**) relating to the securities with International Securities Identification Numbers listed on Schedule I hereto against Lehman Brothers Holdings, Inc. (the "Debtor"), Chapter 11 Case No.: 08-13555 (JMP) (Jointly Administered), United States Bankruptcy Court for the Southern District of New York (the "Bankruptcy Court").

Transferor hereby waives any objection to the transfer of the claim to Transferee on the books and records of the Debtor and the Bankruptcy Court and hereby waives to the fullest extent permitted by law any notice or right to a hearing as may be imposed by Rule 3001 of the Federal Rules of Bankruptcy Procedure, the Bankruptcy Code, applicable local bankruptcy rules or applicable law. Transferor acknowledges and understands, and hereby stipulates, that an order of the Bankruptcy Court may be entered without further notice to Transferor regarding the transfer of the foregoing claim and recognizing the Transferee as the sole owner and holder of the claim. Transferor further directs the Debtor, the Bankruptcy Court and all other interested parties that all further notices relating to the claim, and all payments or distributions of money or property in respect of claim, shall be delivered or made to the Transferee.

IN WITNESS WHEREOF, this EVIDENCE OF TRANSFER OF CLAIM IS  
EXECUTED ON December 20, 2012.

**Neue Aargauer Bank AG**

By:   
Name: Adrian Graf  
Title:

By:   
Name: Irma Bauer  
Title:

**SCHEDULE I**

**Lehman Programs Securities Related to Transferred Portion of Claim:**

<b>ISIN</b>	<b>Court Claim #</b>	<b>Date Claim Filed</b>	<b>Issuer</b>	<b>Number of Units or Currency and Nominal Amount</b>
ANN5214A1118	55814-27	October 29, 2009	Lehman Brothers Securities NV	-90 -